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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

#3

In re application of

:

HADA et al.

:

Docket No. 2001-1787A

Serial No. 09/996,676

:

Attn: APPLICATION BRANCH

Filed November 30, 2001

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POSITIVE-WORKING PHOTORESIST
COMPOSITION

:

THE COMMISSIONER IS AUTHORIZED
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FEE FOR THIS PAPER TO DEPOSIT
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INFORMATION DISCLOSURE STATEMENT

Assistant Commissioner for Patents,
Washington, DC 20231

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Sir:

Pursuant to the provisions of 37 CFR 1.56, 1.97 and 1.98, Applicants request consideration of ☒ the references listed on attached form PTO-1449 and/or ☐ the additional information identified below in paragraph 3. A legible copy of each reference listed on the form PTO-1449 and each U.S. patent application listed below is enclosed, except a copy is not provided for each reference previously cited by or submitted to the Patent Office in prior parent application Serial No. _____.

1a. ☒ This Information Disclosure Statement is submitted:

within three months of the filing date (or of entry into the National Stage) of the above-entitled application, or

before the mailing of a first Office Action on the merits or the mailing of a first Office Action after the filing of an RCE,

and thus no certification and/or fee is required.

1b. ☐ This Information Disclosure Statement is submitted

after the events of above paragraph 1a and prior to the mailing date of a final Office Action or a Notice of Allowance or an action which otherwise closes prosecution in the application, and thus:

(1) ☐ the certification of paragraph 2 below is provided, **or**

(2) ☐ the fee of \$180.00 specified in 37 CFR 1.17(p) is enclosed.

1c. ☐ This Information Disclosure Statement is submitted:

after the mailing date of a final Office Action or Notice of Allowance or action which otherwise closes prosecution in the application, and prior to payment of the issue fee, and thus:

the certification of paragraph 2 below is provided, and

the fee of \$180.00 specified in 37 CFR 1.17(p) is enclosed.

1d. ☐ Each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart application and this information was not received by any individual designated in 37 CFR 1.56(c) more than 30 days prior to the filing of this Information Disclosure Statement. Accordingly, this application is entitled to the protection of 37 CFR 1.704(d) with regard to the filing of this Information Disclosure Statement.

2. It is hereby certified

a. ☐ that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the Statement, or

b. ☐ that no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing the certification after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three months prior to the filing of the Statement.

3. ☐ Consideration of the following list of additional information (including any copending or abandoned U.S. application, prior uses and/or sales, etc.) is requested.
4. For each non-English language reference listed on the attached form PTO-1449, reference is made to:
- a. ☒ a full or partial English language translation submitted herewith,
 - b. ☐ a foreign patent office search report (in the English language) submitted herewith,
 - c. ☒ the concise explanation contained in the specification of the present application at page 1,
 - d. ☒ the concise explanation set forth in the attached English language abstract,
 - e. ☐ the concise explanation set forth below or on a separate sheet attached to the reference:
5. ☐ A foreign patent office search report citing one or more of the references is enclosed.
6. The following references are cited:
- (A) Japanese Patent Kokai No. 2000-137327 which corresponds to U.S. Patent No. 6,239,231;
 - (B) Japanese Patent Kokai No. 4-39665 which matured to a patent number 2881969 which is cited at paragraph [0004], on page 1 of the specification, line 3 from the bottom;
 - (C) Japanese Patent Kokai No. 5-346668 cited at paragraph [0004], on page 1 of the specification, line 2 from the bottom;
 - (D) U.S. Patent No. 6,004,720, which corresponds to Japanese Patent Kokai No. 7-234511 cited at paragraph [0004], on page 1 of the specification, line 2 from the bottom;


- (E) U.S. Patent No. 6,013,416 which corresponds to Japanese Patent Kokai Nos. 9-73173 and 9-90637 cited at paragraph [0004], on page 1 of the specification, line 2 from the bottom;
- (F) Japanese Patent Kokai No. 10-319595 cited at paragraph [0004], on page 1 of the specification, line 2 from the bottom; and
- (G) Japanese Patent Kokai No. 11-12326 cited at paragraph [0004], on page 1 of the specification, bottom line.

Enclosed herewith is a copy of each of the documents of which Japanese reference (A) is accompanied by a copy of the corresponding U.S. Patent No. 6,239,231 in place of an English abstract and Japanese references (B), (C), (F) and (G) are each accompanied by an English abstract thereof.

The reference (E) has a divisional patent No. 5,968,713 and the CIP patent No. 6,200,725 which further has a divisional application SN 09/739,259 published as No. 2001/0003640 of which the priority Japanese Applications include Japanese Patent Kokai No. 10-161313 cited at page 1, paragraph [0004], line 2 from the bottom of the specification.

Respectfully submitted,

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